

Kentucky Office of Highway Safety
Grants Management Branch



Standard Operating Procedures Manual

January 2009



TRANSPORTATION CABINET

Frankfort, Kentucky 40622
www.transportation.ky.gov/

Steven L. Beshear
Governor

Joseph W. Prather
Secretary

OFFICE OF THE SECRETARY 105142 OFFICIAL ORDER

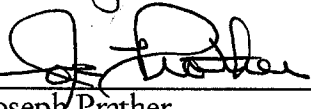
SUBJECT: *Grants Management Branch Manual*

This manual has been prepared to provide information and guidance to personnel of the Kentucky Transportation Cabinet. Its purpose is to establish uniformity in the interpretation and administration of laws, regulations, policies, and procedures applicable to the operations of the Grants Management Branch and its relationship with other units of the Cabinet.

The policies and procedures set forth herein are hereby approved and declared effective unless officially changed.

All previous instructions, written and oral, relative to or in conflict with this manual are hereby superseded.

Signed and approved this 5th day of February, 2009.



Joseph W. Prather
Secretary

Approved as to Legal Form



Office of Legal Services



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Preface

This manual contains general and specific policies and procedures for the proper administration of the Kentucky Office of Highway Safety (KOHS)- Grants Management Branch which is housed within the Transportation Cabinet, Department of Highways. It is important to note that existing federal, state, and KOHS policies and procedures have been used throughout to create a large portion of this document. However, many of the procedures described in this manual are guidelines, or “best practices,” that will be used primarily for staff training and reference purposes, and therefore should not be considered as mandated policies. Hence, if there is a departure from a particular sub-procedure, then this does not constitute a lapse in procedure nor an administrative error.

Since much of the KOHS - Grants Management Branch budget comes from the National Highway Traffic Safety Administration (NHTSA), many federal regulations and policies apply. These regulations, policies, and guidance documents are contained in the ***Highway Safety Grant Management Manual*** provided by NHTSA. The KOHS - Grants Management Branch shall maintain at least one up-to-date copy of this manual and refer to it for guidance on the specific use and limitations of federal highway safety funds. The NHTSA regional office shall be consulted for clarification on any of the provisions therein. Our primary contact with the [NHTSA Region III office](#) is Bill Naff, Regional Program Manager and he can be reached at 410-962-0002 or bill.naff@dot.gov . Elizabeth Baker, Ph.D., is the Regional Administrator for the NHTSA Region III office.

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Chapter 1: Authority, Purpose, & Organization

1.1 Authority

The Kentucky Office of Highway Safety (KOHS) - Grants Management Branch was established under the authority of the federal Highway Safety Act of 1966 (23 U.S.C. 402). [Section 1251](#) of this act authorizes each state highway safety agency to:

- a) Develop and implement a process for obtaining information about the highway safety programs administered by other state and local agencies.
- b) Periodically review and comment to the Governor on the effectiveness of highway safety plans and activities in the state regardless of funding source.
- c) Provide or facilitate the provision of technical assistance to other state agencies and political subdivisions to develop highway safety programs.
- d) Provide financial and technical assistance to other state agencies and political subdivisions in carrying out highway safety programs.

1.2 Purpose

Additionally, Section 1251.4 outlines the functions of each state highway safety agency:

- a) Develop and prepare the Highway Safety Plan prescribed by volume 102 of the Highway Safety Program Manual (23 CFR 1204.4, Supplement B), based on evaluation of highway accidents and safety problems within the state.
- b) Establish priorities for highway safety programs funded under 23 U.S.C. 402 within the state.
- c) Provide information and assistance to prospective aid recipients on program benefits, procedures for participation, and development of plans.
- d) Encourage and assist local units of government to improve their highway safety planning and administration efforts.
- e) Review the implementation of state and local highway safety plans and programs, regardless of funding source, and evaluate the implementation of those plans and programs funded under 23 U.S.C. 402.
- f) Monitor the progress of activities and the expenditure of Section 402 funds contained in the state's approved Highway Safety Plan.
- g) Assure that independent audits are made of the financial operations of the state highway safety agency and of the use of Section 402 funds by any subrecipient.
- h) Coordinate the state highway safety agency's Highway Safety Plan with other federally and non-federally supported programs relating to or affecting highway safety.
- i) Assess program performance through analysis of data relevant to highway safety planning.

1.3 Mission

The Kentucky Office of Highway Safety operates with the following mission statement:

To be the vital link in the Commonwealth's chain of highway traffic safety by elevating the emphasis on highway and traffic safety. This mission is guided by the following statement: "through public and private partnerships, achieve the most improved and sustainable downward trend in highway fatalities and injuries in the nation."

This mission is supported by three general goals:

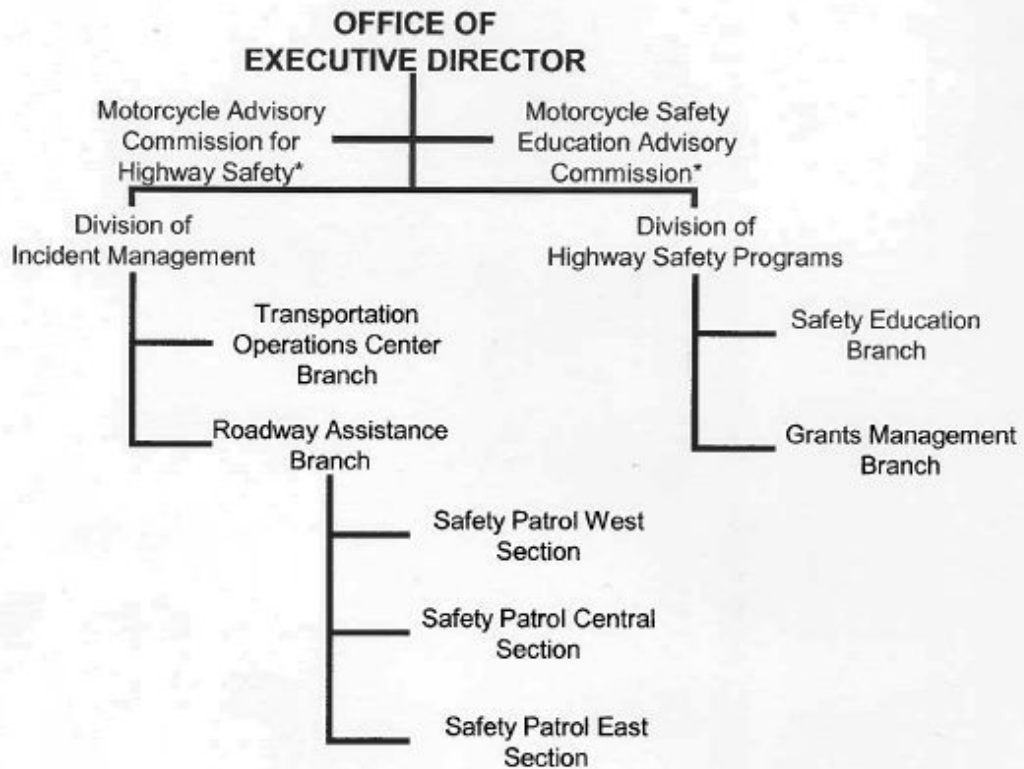
- 1) To reduce the number of serious injuries and fatalities on the state's roadways through the efficient use of highway safety resources available on the local, state, and national levels. These resources include both public and private sources.
- 2) To develop and implement a strategic plan identifying problems, countermeasures, and action plans to address Section 402 priority program areas—alcohol and other drug countermeasures, occupant protection, traffic records, police traffic services, emergency medical services, motorcycle safety, roadway safety, pedestrian & bicycle safety, and speed control.
- 3) To increase public awareness of traffic safety issues and their impact on the state.

1.4 Organization

The Kentucky Office of Highway Safety (KOHS) is established within the Department of Highways of the Kentucky Transportation Cabinet by Executive Order 2008-529 dated June 16, 2008. This Executive Order transferred the functions, powers, responsibilities, personnel, positions, records, files, equipment, and funds heretofore assigned to the Kentucky State Police within the Justice and Public Safety Cabinet relating to the administration of the National Highway Safety Act of 1966. The Kentucky Office of Highway Safety - Grants Management Branch is responsible for administration and monitoring of all programs funded by the National Highway Traffic Safety Administration.

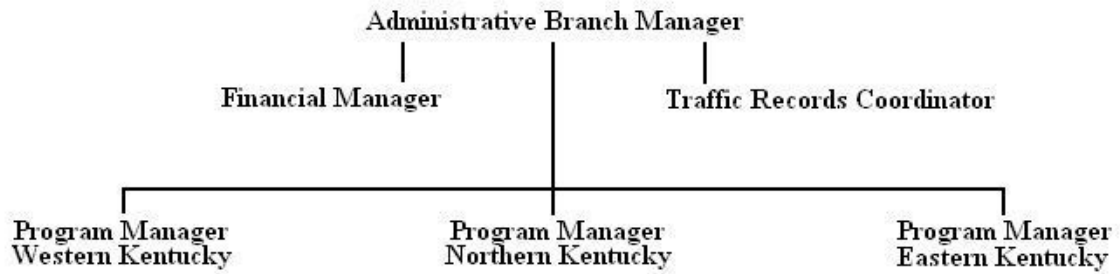
Department of Highways

Office of Highway Safety



*Attached for Administrative Purposes

*Department of Highways
Office of Highway Safety
Grants Management Branch*



Chapter 2: Administration

2.1 Governor's Representative

The Governor's Representative for Highway Safety is appointed by the Governor of the Commonwealth of Kentucky. The current Governor's Representative is the Secretary of the Transportation Cabinet who has ultimate authority over the Kentucky Office of Highway Safety.

2.2 KOHS Personnel

The Executive Director oversees administrative functions of the Kentucky Office of Highway Safety.

All employees of the Kentucky Office of Highway Safety - Grants Management Branch are employees of the Commonwealth of Kentucky, and are thus subject to all laws, regulations, and policies applicable to state employees set forth in Kentucky Revised Statutes (KRS) Title III, Chapter 18A and Title 101 of the Kentucky Administrative Regulations (KAR).

Employees should refer to the current edition of the Commonwealth of Kentucky's Employee Handbook, which is available from Department of Personnel's web site at <http://personnel.ky.gov/stemp/emphb/default.htm> for further information on state personnel policies, procedures, and benefits. Employees of the Kentucky Office of Highway Safety shall also be subject to the applicable policies of the Kentucky Transportation Cabinet.

2.3 Contract Personnel

The KOHS may employ contract personnel to help carry out the mission and functions of the program. These positions may have workstations that are off-site from the KOHS office. These positions, which may include regional law enforcement liaisons, shall be established and/or continued through annually renewable contracts and funded with federal highway safety grant funds. Such positions shall be subject to all terms and conditions of the applicable contract agreements.

2.4 Office Hours

The Kentucky Office of Highway Safety will generally maintain office hours from 8:00 a.m. to 4:30 p.m. local time, each day except Saturdays, Sundays, and state holidays as designated by the Governor.

2.5 Delegation of Authority & Signatory Authority

The KOHS shall file a Delegation of Authority and a Signatory Authority document with the National Highway Traffic Safety Administration's Region III office. These documents shall be updated periodically to correspond with personnel changes within the KOHS.

2.6 Staff Meetings

The KOHS shall hold regular staff meetings at the discretion of the Executive Director or Director of the Division of Highway Safety Programs. Generally, meetings including all staff members should be held at least quarterly. Individual meetings between staff members should be held more frequently as needed.

2.7 Records Management & Filing

The KOHS shall maintain at least one copy of the following in a central location:

- Grant project files
- Annual Highway Safety Plan/Performance Plan
- Annual Evaluation Report and
- Reports required for specific federal funding streams, such reports shall be retained for a period of at least three years

Chapter 3: Program Management

3.1 Management Process

The Kentucky Office of Highway Safety - Grants Management Branch follows a management process that consists of the following major functions: planning, programming, implementation, monitoring/review and evaluation. The following calendar indicates when the various activities that are regularly performed under this process take place:

January—February

- Review highway safety grant reimbursement claims/activity reports
- Prepare and develop Section 405 Occupant Protection Grant Application

March—April

- Review highway safety grant reimbursement claims/activity reports
- Evaluate crash data from prior year and begin problem identification process
- Solicit grant proposals from current grantees and from agencies in high-priority problem areas
- Begin on-site monitoring

May

- Review highway safety grant reimbursement claims/activity reports
- Receive grant applications for next fiscal year
- Continue on-site monitoring

June – July

- Review highway safety grant reimbursement claims/activity reports
- Estimate funding levels (carry forward funds and new FY appropriations)
- Review grant proposals and select projects for funding
- Continue on-site monitoring
- Establish funding priorities for the upcoming grant year

August

- Review highway safety grant reimbursement claims/activity reports.
- Develop and submit HSP/Performance Plan to NHTSA by September 1
- Prepare grant agreements for upcoming grant year

September

- Review highway safety grant reimbursement claims/activity reports.
- Send grant award letters and finalize grant agreements/budgets for new fiscal year.
- Begin planning for regional grantee training

October

- Review highway safety grant reimbursement claims/activity reports
- Conduct regional grantee training
- Receive NHTSA approval for HSP and revise if necessary

November—December

- Review highway safety grant reimbursement claims/activity reports
- Final evaluation of prior fiscal year's projects & programs
- Prepare & submit Annual Report to NHTSA by December 31
- Prior fiscal year grant closeout (Dec.)

3.2 Problem Identification

Identification of traffic-related problems on the statewide level is key to the development of the annual Highway Safety Plan/Performance Plan. All Kentucky crash data originate from the CRASH (Collision Report Analysis for Safer Highways) database, which is maintained by the Kentucky State Police. All law enforcement agencies in Kentucky are required to submit uniform reports of any injury, fatal, or property damage crash that renders a vehicle inoperable to the Kentucky State Police's Records Branch.

Through a cooperative agreement with the Kentucky State Police, The KOHS has access to certain data from the CRASH database to use as the basis for its own [Traffic Safety Data Service](#) (TSDS). The TSDS is able to provide this information to the departments within the Transportation Cabinet, as well as respond to queries by law enforcement, consultants, the Governor's Executive Committee on Highway Safety, the public, and others. With its analytical tools and mapping capabilities, the TSDS is able to conduct highway safety problem identification for the purpose of establishing program and funding priorities within the KOHS.

The TSDS annually updates a matrix that has been used for the past several years to evaluate data from Kentucky's 120 counties. This matrix utilizes data from the most recent three-year period (2005-2007) to establish a ranking system for highway safety problems by county, so that priority areas can more easily be established for reviewing funding proposals and for program delivery. This problem identification tool tabulates data from each of the following data factors for each county:

- Population
- Number of fatalities
- Number of incapacitating injuries
- Fatality and Injury Rate per 100 MVM
- Number of impaired driving crashes
- Observed seat belt usage rate

- Percent of Belted Fatalities
- Number of speeding-related crashes
- Number of commercial motor vehicle crashes
- Number of motorcycle-involved crashes

The matrix spreadsheet is set up to assign a ranking of 1-120 for each county in each of these categories. All of these rankings are combined into an overall ranking as well. Fatalities and incapacitating injuries were given more weight in determining the overall ranking. Counties with the lowest overall numerical rank have the greatest number of problems, while counties with the highest numerical rank have the lowest number of problems. The KOHS announced that it will target highway safety countermeasures in those counties that were ranked in the top 25 overall in the upcoming year. The grant review committee used this matrix and the identification of priority counties as a tool in reviewing applications for highway safety project funding. Individual factor rankings were consulted to help determine the most suitable program area for particular project proposals. This was especially helpful for evaluating law enforcement proposals, which make up a large percentage of the applications received.

In addition to the data analysis conducted by the TSDS, the Kentucky Transportation Center of the University of Kentucky is contracted to conduct an annual review of crash data from the most recently available year, as well as the prior four-year period. The [Kentucky Transportation Center](#) uses this data to annually develop the Analysis of Traffic Crash Data in Kentucky and Kentucky Traffic Collision Facts. These documents contain the most comprehensive published collection and analysis of statewide crash data available.

[Analysis of Traffic Crash Data in Kentucky](#) compiles and analyzes detailed motor vehicle crash data for all Kentucky counties and for cities over 2,500 in population for the most recent five-year period. It also includes relevant data on arrest and conviction data for DUI offenses. [Collision Facts](#) characterizes traffic crashes in a more general manner, presenting information on contributing factors, occurrence by type of vehicle & roadway, age and sex of driver, etc. The Kentucky Transportation Center also conducts the annual statewide safety belt and child restraint usage survey according to NHTSA standards. The results are published each year in a separate research report, [Safety Belt Usage Survey in Kentucky](#). The KOHS staff uses all of these documents to gain a better understanding of trends in traffic collisions and to help identify the most problematic areas and/or jurisdictions in the state. Demographic data and the most common factors contributing to crashes are also examined to determine the most at-risk populations and behaviors that should be addressed in the Performance Plan.

3.3 Grant Application Solicitation

The KOHS solicits applications for highway safety grants from state agencies, local governmental agencies, and private not-for-profit agencies. This process will be conducted during the first quarter of each calendar year through a combination of mail-out notifications, electronic e-mail communication, personal contact through the law enforcement liaisons, and information on the KOHS web site. Applications for highway safety project funding may also be requested by contacting the KOHS office by telephone or e-mail.

Eligible agencies that are currently receiving highway safety grants will automatically be mailed an application for each subsequent federal fiscal year. The KOHS also solicits applications from eligible agencies in areas of the state that have been deemed high priority through the yearly problem identification process.

3.4 Application Forms

Applications must be submitted on the approved KOHS forms (see [appendix #1](#)). Electronic application forms are available for download on the KOHS web site (www.highwaysafety.ky.gov).

3.5 Application Procedure

An original and three (3) copies of the application must be submitted by the specified due date to the KOHS office housed within the Transportation Cabinet.

3.6 Application Content

In order for an application to be accepted as complete, it must contain the following material/information:

- Complete applicant/agency information
- Description of the project
- Problem identification narrative supported by appropriate data
- Project goals, objectives, strategies and activities
- Detailed project budget
- Signature and contact information of preparer of application

3.7 Application Deadline

Applications must be received by the KOHS by the close of business on the deadline date, which will be announced yearly, but is generally in mid-May. Applications received after the due date may be considered only if the program has unobligated funds remaining following the grant review process.

3.8 Incomplete Application

If the application is incomplete, the applicant shall be notified as to the necessary action(s) to complete the application. If the applicant provides the necessary content within the time indicated on the notice from the KOHS, the application shall be considered filed on the original date received. Notification to the applicant may be in the form of written correspondence, email, or by telephone.

3.9 Application Review & Selection

All submitted applications will be collected and logged into a database containing summary information. The KOHS staff shall divide applications among the review committee members for an initial independent review. The review committee shall be comprised of appropriate KOHS staff, law enforcement liaisons, and others selected by the KOHS Executive Director. Each committee member will individually evaluate their assigned applications by filling out a review form with their comments and recommendations, which will later be shared with the rest of the review committee.

The committee will meet for collective review sessions in June to determine which proposals will be funded and at what level. Evaluation of each proposal shall include consideration of the following:

- Eligibility of applicant (political subdivisions and 501c3 non-profit organizations)
- Eligibility of the program area
- Conformity to program strategy
- Extent of need (based on CRASH data) for the project/program
- Measurable goals and objectives
- Suitable strategies and activities for achieving stated goals and objectives
- Assessment of previous project results
- Participation/attendance in state highway safety campaigns/events
- Allowability in accordance with federal funding guidelines and Kentucky statutes and regulations
- Sufficiency and allowability of match
- Budget and cost effectiveness
- Adequacy of agency resources
- Size of community served, preference will be given to agencies that serve populations of at least 2,500

Upon final review of the application, the KOHS shall recommend one of the following actions:

- Rejection of the application
- Approval of the application
- Approval of the application with special conditions or modifications

3.10 Local Benefit

23 CFR Part 1250 requires that at least 40% of all federal funds apportioned to Kentucky under Section 402 be expended by political subdivisions within the state. Funding to localities shall be guided by the problem identification process and by the program goals developed in the statewide Highway Safety Performance Plan.

3.11 Designation of Program Area

Projects will be placed in the funding program area that best suits the focus of the proposal or that is indicative of the highest priority problem of the locality.

3.12 Conditional Approval

In many cases, the review committee will propose modification of the grantee's budget in order to meet funding guidelines or to ensure adequate funding for other worthy proposals. Requests for any changes to the grantee's application shall be transmitted in writing to the applicant, who will be asked to submit any modifications to the KOHS in order to obtain final approval.

3.13 Final Application Approval

Final approval of a grant application occurs when the grant agreement is signed by the authorizing official and project director of the grantee agency as well as by the Executive Director of the KOHS, the Governor's Representative for Highway Safety, and a representative from the Kentucky Transportation Cabinet Office of Legal Services.

The annual Highway Safety Performance Plan submitted to NHTSA shall contain KOHS's recommendations for agencies to receive federal funding each fiscal year. Approval of this document shall constitute NHTSA's approval for the allocation of federal highway safety funds through the KOHS to subrecipients.

3.14 Approval Notification

Following NHTSA's acceptance of the Performance Plan, grantees are notified of their grant award in writing by the KOHS and are provided with a copy of their signed grant agreement, including all contract conditions. This award letter also notifies grantees of any training session that is required.

3.15 Notification of Rejection

Applicants that have been denied or rejected funding will receive written notification from the KOHS.

3.16 Grantee Training

The KOHS will make every reasonable effort to educate grantee project directors on the procedures for managing their grant and on completing required paperwork. Grantee training will generally be provided by KOHS staff through a series of training sessions held regionally throughout the state during the first quarter of the federal fiscal year. Specific locations and dates will be established each year to conveniently accommodate the grantees required to attend. Attendance by all grantees is mandatory.

3.17 Highway Safety Performance Plan

By September 1 of each year, the KOHS shall submit a Performance Plan to the NHTSA Region III office, which will serve as its application for Section 402 funding for the federal fiscal year beginning October 1st.

A copy will also be provided to the Kentucky Division of the Federal Highway Administration (FHWA) for their review and comment.

The KOHS will utilize guidelines developed by the [Governor's Highway Safety Association](#) (GHSA) in formulating its Performance Plan. The following are required elements of the Performance Plan:

1. Measurable highway safety goals based on problems identified by the state and corresponding performance measures for tracking progress. Highway safety goals should address the National Priority Program Areas specified by NHTSA, and may include other priorities indicated from the state's data analysis and problem identification.
2. A brief description of the processes used to formulate goals and activities, including identifying the participants in the process, data sources consulted, and strategies for project selection
3. Highway Safety Plan (HSP): This plan is a description of one year of Section 402 program activities that Kentucky plans to implement to reach the goals identified in the Performance Plan. Activities funded from other sources may also be included, as long as the funding source is clearly identified.
4. Certification Statement: This statement, signed by the Governor's Representative for Highway Safety, certifies that Kentucky will comply with applicable laws and regulations, financial and programmatic requirements, and in accordance with CFR 1200.11, special funding conditions of the Section 402 program.
5. Program Cost Summary: This summary is an estimate of available funding for the upcoming fiscal year, reflecting Kentucky's proposed allocation of funds (including carryover funds) by program area.

3.18 Revisions to the Performance Plan

Any revisions or adjustments that may need to be made to the Performance Plan after initial submittal shall be detailed in writing and submitted to the NHTSA regional office for approval. All such revisions and NHTSA's written responses shall be kept on file with the Performance Plan in the KOHS.

3.19 Annual Report

The KOHS shall submit an annual report to NHTSA within 90 days of the end of the federal fiscal year. This report shall describe:

- Kentucky's progress in meeting its highway safety goals, using performance measures identified in the Performance Plan.

Note: Both baseline and most current level of performance under each measure will be given for each goal.

- How the projects and activities funded during the fiscal year contributed to meeting Kentucky's highway safety goals.

Note: Where data becomes available, KOHS should report progress from prior year projects that have contributed to meeting current state highway safety goals.

3.20 Program Guidelines – Sub-Grantees

3.20.1 Relationship

The relationship of the grantee to the Kentucky Office of Highway Safety shall be that of an independent contractor, not that of a joint enterprise. The grantee shall have no authority to bind the Kentucky Office of Highway Safety for any obligation or expense without the expressed prior written approval of the Kentucky Office of Highway Safety.

3.20.2 Project Commencement

Unless otherwise indicated within grant agreement, grantee project activity must begin within thirty (30) days of the approved start date, after signed approval of the grant agreement by the Governor's Representative, or may be subject to cancellation.

3.20.3 Activity Reporting

Grantees shall submit progress reports monthly or according to a schedule agreed upon in advance by the program manager and the grantee's project director. Progress reports shall include documentation of all enforcement, education, and other activities to the grantor. Law enforcement agencies' progress reports should take the form of a standardized monthly activity report plus Officer's Detail Activity Logs. These forms can be found in the appendix (see [appendix # 4-6](#)) and are made available on the KOHS web site. Non-law enforcement agencies shall submit progress reports as a narrative document.

3.20.4 Final Reports

Each Grantee shall be required to submit a final cumulative report (see [appendix # 8-9](#)) summarizing activity for the funded period and addressing progress made toward goals and objectives outlined in the approved grant agreement. Reports should present current local data to support their assessment of progress made. These reports are due no later than 30 days after the contract period has ended.

3.21 Project Monitoring

3.21.1 Purpose of Monitoring

Traffic safety grant project monitoring provides a method of tracking progress and achievement of grant objectives. Since the process is ongoing throughout the duration of the project, monitoring serves as a management tool for project control. It also presents a good opportunity for sharing information and assistance. Program monitoring and reporting are required by [49 CFR—Part 18](#)--Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, Subpart C. Monitoring serves the following purposes:

- Helps keep track of, regulate, and control the status of the project
- Assures compliance with state and federal requirements
- Assesses progress in the achievement of objectives
- Detects problems and identifies changes needed
- Ensures that appropriate data is collected and reported for evaluation

Monitoring may take several forms, including informal contact with grantees through telephone calls and email correspondence on an ongoing and as-needed basis. More formalized monitoring procedures are outlined below.

3.21.2 Desk Monitoring

Desk monitoring includes review of activity reports and reimbursement requests. This is generally done monthly, but may be done less frequently, depending on the grantee's activity level and any special reporting preferences that may be arranged in advance with the program manager. Desk monitoring includes the following steps.

3.21.2.1 Program Manager Review

The KOHS program manager assigned to each specific grant project shall review grantee claims & progress reports as an initial step in the desk monitoring process. To accomplish this, the program manager shall:

- Review the claim to ensure that all required reporting forms and supporting documentation (time sheets, invoices, cancelled checks, etc.) have been included
- Review reporting forms to ensure that they have been completely filled out and signed by the appropriate personnel

- Review activity reports to ensure that activities performed are within the scope of the objectives outlined in the grant agreement and that performance is acceptable compared to planned levels
- Review expenditures to ensure that they are allowable and in accordance with the project budget
- If all of the above are found to be satisfactory, initial and date the claim form and forward it to the KOHS Financial Manager.

3.21.2.2 Financial Manager Review

The KOHS financial manager shall complete the desk monitoring process by reviewing the claim to:

- Ensure that all required reporting forms and supporting documentation have been included
- Ensure that expenses are allowable and in accordance with the project budget
- Verify the amounts in the supporting documentation against the amounts requested on the claim form

If all of the above are found to be satisfactory, the financial manager initials and dates the claim form and posts the expenditures to the project spreadsheet.

3.21.2.3 Deficient Reporting

If the program manager or financial manager find any problems or deficiencies in a grantee's claim/activity report during desk monitoring, they shall notify the grantee by phone or email immediately, allowing five business days for the grantee to correct the deficiency. If the grantee fails to comply, KOHS shall return the claim to the grantee with a letter detailing the problem(s) encountered. The grantee will not receive reimbursement of expenses until the corrected claim is resubmitted.

3.21.3 On-Site Monitoring

On-site monitoring requires the program manager and/or law enforcement liaison (LEL) to meet with the project director at the offices of the funded agency at least once a year.

3.21.3.1 Monitoring Preparation

The program manager or LEL shall take the following steps in preparation for the on-site monitoring visit:

- Review grant contract

- Review correspondence and reimbursement claims submitted to date
- Note any items from previous desk monitoring that require follow-up
- Call project director two weeks in advance to schedule appointment
- Send project director a Monitoring Preparation Checklist (see [appendix # 10](#)) to aid them in preparing for the monitoring visit
- Confirm appointment three to five days prior by telephone or email

3.21.3.2 Responsibility for On-Site Monitoring

Grants for \$15,000.00 or more shall require an on-site monitoring visit by the applicable program manager. LELs shall be responsible for on-site monitoring of grants less than \$15,000.00. Section 405 May mobilization grants shall be subject to desk monitoring only.

3.21.3.3 Monitoring Schedule

On-site monitoring shall occur during the first six months of the grant period, unless the release of federal funding occurs at such time that it makes this impractical. This decision will be at the discretion of the KOHS.

3.21.3.4 Elements of Monitoring Visit

During the on-site monitoring visit, the program manager or LEL shall:

- Review expenditures to determine if they are on schedule
- Examine grantee's files to ensure that adequate records of activity are being maintained
- Examine any program enhancement items purchased to ensure that they contain an approved highway safety message
- Examine any equipment purchased to verify that it conforms to invoices submitted for reimbursement and that it is being utilized as approved
Note: Verify that equipment has been installed, if applicable
- Review and determine the status of each project objective with the project director
- Review evidence of progress toward task completion
- Ensure that grantee is fulfilling funding match requirement, if applicable
- Discuss status of participation in mobilizations, attendance at required KOHS events, etc.
- Determine whether grantee is using current traffic crash data to guide allocation of overtime and to gauge overall performance

- Discuss final reporting requirements, emphasizing the need to compare grant year-end results with the stated goals & objectives of the project

3.21.3.5 Monitoring Report

Following an on-site monitoring visit, the program manager or LEL shall complete an on-site monitoring review report (see [appendix # 11](#)) and shall send a copy of this report to the grantee within 30 days of the visit. If any deficiencies are observed during the monitoring visit, these shall be noted in the monitoring review report, along with recommendations for correcting them. In this case, the grantee will be required to respond to the KOHS recommendations within 14 business days, detailing how they will address each of the specified deficiencies. A copy of the completed on-site monitoring report, as well as any other related correspondence, shall be placed in the grantee's central file.

3.22 Contract Non-Compliance/Termination

In the event that a grantee has been notified of problems or areas of non-compliance (as outlined in the monitoring sections above) and does not take the necessary action to remedy the problems within an acceptable time frame, KOHS may initiate termination of the grant contract. This sanction will be imposed as a last resort when any subrecipient of federal funds fails to fulfill contract requirements in a timely or proper manner, refuses to abide by specific terms, or violates the conditions of a contract. In such a case, the Executive Director of the KOHS will provide written notification to the project director at least 30 days before the effective date of cancellation. Such notice shall indicate the effective date of cancellation and the specific reason as to why the contract is being terminated. Termination shall not preclude the grantee from receiving reasonable and equitable compensation for satisfactory work already completed. Any grantee activities related to the contract after the day of receipt of the KOHS letter of termination will require prior approval.

3.23 High-Risk Grantees

Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments ("The Common Rule") [49 CFR-Part 18-Subpart B-18.12](#) sets forth the following conditions that may be used to determine if a grantee is "high risk":

1. Has a history of unsatisfactory performance. Unsatisfactory performance includes, but is not limited to: lack of substantial progress on all goals and objectives as included in the signed grant agreement; inability to properly expend the federal highway safety grant funds allocated to meet the goals and objectives as included in the signed grant agreement; lack of participation in NHTSA and KYTC, or
2. Is not financially stable, or

3. Has a management system which does not meet the management standards set forth in this part, or
4. Has not conformed to terms and conditions of previous awards, or
5. Is otherwise not responsible; and if the Grantor determines that an award will be made, special conditions and/or restrictions shall correspond to the high risk condition and shall be included in the award.

3.23.1 Restrictions

When the KOHS makes a determination that a grantee is high-risk, special conditions and restrictions may include:

1. Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given funding period
2. Requiring additional, more detailed, financial reports
3. Additional project monitoring
4. Requiring the grantee to obtain technical or management assistance
5. Establishing additional prior approvals

3.23.2 Notification

If the KOHS decides to impose such conditions, the Executive Director will notify the grantee as early as possible, in writing, of:

1. The nature of the special conditions/restrictions
2. The reasons for imposing them
3. The corrective actions which must be taken before they will be removed, and the time allowed for completing the corrective actions
4. The method of requesting reconsideration of the conditions and/or restrictions imposed

Chapter 4 Financial Management

4.1 Funding Streams

Funding for the Kentucky Office of Highway Safety - Grants Management Branch is primarily federal. A minimum of 50% of the planning and administration costs of the KOHS are paid for by the Commonwealth of Kentucky, as required by governing federal regulations.

The Kentucky Office of Highway Safety - Grants Management Branch receives federal funds from several sources that are all managed by NHTSA. The majority of these funds are authorized under [Section 402](#) of the Highway Safety Act of 1966 (23 U.S.C. 402), and are commonly referred to as “402 funds.” Other funding sources authorized for specific highway safety programs include [Section 405](#), [Section 406](#), [Section 408](#), [Section 410](#), and others. NHTSA’s “[Highway Safety Grant Funding Policy for Field-Administered Grants](#),” briefly describes the rules governing the state’s use of these funding sources. It also references other federal documents (such as OMB circulars) that apply to the use of these federal funds.

In an effort to simplify financial guidelines as they pertain to grantees of the Kentucky Office of Highway Safety, the following general principles have been developed.

4.2 Financial Guidelines for Grantees

4.2.1 Supplanting

Routine and/or existing state or local expenditures cannot be replaced with federal funds - a practice known as supplanting. Grant funds administered by the KOHS may not be used for activities that constitute general expenses required by state or local governments to carry out their responsibilities.

4.2.2 Duration of Funding

The Section 402 highway safety program is based on a seed money concept. As such, it is the general practice of the KOHS to furnish these funds for a limited number of years to allow communities to initiate highway safety programs. This funding limit will generally be five years. Exceptions to this guideline may be made in instances where a grantee has demonstrated exceptional performance or if the grantee is within a high-priority county, as identified during the KOHS annual statewide problem identification process.

4.2.3 Matching Funds

The KOHS will fund 100% of project costs with federal 402 funding for no more than three consecutive years. Fourth-year projects are required to provide a minimum 35% local funding match.

Projects extending into the fifth year and beyond shall fund at least 50% of the project cost with local funds. These match requirements shall only apply to 402 funds. Allowable costs that may be claimed for matching include overtime salaries and benefits and approved equipment used for their highway safety project. Agencies receiving funding from other federal sources (405, 410, etc.) shall not be required to provide local matching funds. State agencies shall not be subject to the match requirements or the funding period limits indicated above.

4.2.4 Sit Out Period

Once 402 funding for a project has been discontinued (termination, failure to re-apply, etc.), the subject agency must wait two years before becoming eligible to receive additional 402 funding through the KOHS.

4.2.5 Accounting Procedures

The grantee must establish fiscal control with generally accepted accounting procedures that assure proper disposition of grant funds and if applicable, required non-federal expenditures. All money spent on this project will be disbursed in accordance with provisions of the grant budget or officially revised budget as approved by KOHS.

4.2.6 Audits

All subrecipients expending more than \$500,000 in federal funds during a fiscal year must undergo an OMB A-133 audit. The \$500,000 threshold is for all federal funds expended by the subrecipient, not just those received from KOHS. The KOHS will send a letter to each subrecipient requesting they agree to provide: (1) a copy of their A-133 audit to KYTC, if their federal funding exceeded \$500,000.00, or (2) certification to KYTC that their federal funding did not exceed \$500,000.00. If subrecipients do not comply with [OMB A-133](#) requirements, their reimbursements will be withheld until compliance is met.

4.2.7 Adherence to Budget

Grantees must adhere to the budget outlined in their approved grant agreement. The KOHS cannot reimburse any claim for funds in excess of the contracted amounts. If a change is needed within the budget, a written request must be submitted to and approved by the KOHS prior to the purchase. KOHS will consider a maximum of two revision requests within the first three quarters of the contract period.

4.2.8 Records Subject to Inspection. The grantee must make available to the KOHS, NHTSA, FHWA, the Controller General of the United States, the Auditor of the Commonwealth of Kentucky, or any of their duly authorized representatives, any books, documents, papers, or records pertaining to the grant agreement with the KOHS.

4.2.9 Records Retention

All of the grantee's financial records must be retained for a period of not less than three years following payment of the final voucher by the KOHS. Financial records shall include books, general & subsidiary ledgers, source documentation supporting accounting transactions, personnel records, verified payroll records, invoices, cancelled checks, and any other related documents and records.

4.2.10 Reimbursable Costs

Federal grant funds administered by the KOHS are disbursed by reimbursement of direct costs. As such, grantees must first expend and pay all costs incurred before seeking reimbursement from the KOHS. To be eligible for reimbursement under this program, costs must meet the following general criteria:

- The cost must be necessary for proper and efficient administration of the contract.
- The cost must be adequately identified in the contract.
- The cost must be permissible under federal, state, and applicable local policies, regulations, and practices. See [OMB Circular A-87](#), "Cost Principles for State, Local, and Indian Tribal Governments" in NHTSA's [Grant Management Manual](#) for further information.
- The cost must be reasonable.
- The cost must have been incurred during the effective dates of the contract, following approval and signing by all identified parties.
- The cost cannot be used as match for other federal grant programs.
- The cost must not result in profit for the grantee or its employees.

4.2.11 Prohibited Costs

The following items are not eligible for funding through the KOHS grants:

- Highway maintenance, construction, or design
- Office furniture and fixtures
- Land
- Paid advertising
- Regulatory traffic signs
- Alcoholic beverages
- Entertainment
- Lobbying Costs

4.2.12 Payroll Procedures and Records

Compensation for personal services are allowable if:

- (a) They are for services rendered during the contract period

- (b) They are reasonable and normal for the services rendered
- (c) Paid personnel are appointed in accordance with state and local government laws and rules
- (d) They are based on payrolls documented and approved in accordance with generally accepted accounting principles
- (e) They are supported by time and attendance records signed by both employee and supervisor

4.2.13 Overtime Pay

Reimbursable overtime will be strictly for traffic enforcement activities. Overtime pay shall be calculated in accordance with existing labor laws and shall be paid at the rate of one and one-half (1.5) times the employee's hourly rate of pay for actual hours worked in excess of forty (40) hours in any week. All paid time (vacation, sick, and compensatory leave) except holiday leave is counted as hours worked for the purpose of computing eligibility for overtime unless a department's overtime policy is more stringent, in which case, departmental policy on overtime shall apply.

4.2.14 Employee Benefits

Employee benefits are an allowable expense, if they are provided pursuant to a leave system. The cost must be equitably allocated to all activities. Employee benefits may include the employer's contribution for Social Security, Workman's Compensation Insurance, and Pension Plans.

4.2.15 Purchasing

Grantees are required to use their own procurement regulations that reflect applicable state and local laws, rules, and regulations.

4.2.15.1 Equipment Purchases

Law enforcement agencies receiving grants from the KOHS commonly include funds in their project budgets for equipment purchases that will enhance their traffic enforcement capabilities. Any equipment purchased in accordance with the approved project budget shall require the submittal of a completed [Non-Expendable Property Accountability form](#). Equipment purchases will be verified during on-site monitoring by the KOHS program manager or LEL. The grantee is responsible for insuring all equipment items and will be liable to the KOHS for loss, theft, or damage to the equipment.

4.2.15.2 Educational Materials

Educational materials are program enhancement items given away for the purpose of public information and education. All items purchased with federal highway safety funds must include an approved highway safety message.

Certain items may be purchased without written authorization from the KOHS, provided that the approved grant contract includes funds designated for program enhancement items. These items are listed on Attachment A – Guidelines for Educational Materials Purchases (see [appendix # 12](#)). Purchasing of items not specified on Attachment A requires prior approval in the form of a written request to the KOHS.

All program enhancement items must be ordered by April 30th of the grant year.

4.2.16 Travel Expenditures

The costs associated with attending training or conferences may be allowable when included in the grant agreement budget proposal. The training or conference subject matter must compliment the objectives of the grant. Allowable costs may include transportation, lodging, meals, and registration fees.

Travel reimbursements will be made in accordance with the provisions of [200 KAR Chapter 2](#), except when the grantee has other official regulations. Agency regulations, if different from the aforementioned Kentucky Administrative Regulations, shall be submitted to the KOHS for review prior to implementation of the grant contract.

Grantees must submit a completed Out-of-State/Overnight Travel Request form (see [appendix # 13](#)) to the KOHS for out-of-state overnight travel at least 15 days prior to the anticipated date of departure. Vehicle mileage is to be determined by the most current “[Kentucky Official Highway Map](#)” prepared by the Kentucky Transportation Cabinet or an approved internet based mileage calculator.

4.2.17 Project Income

No income may be earned by the grantee with respect to funds received through the KOHS.

4.2.18 Grantee Reimbursement Claim Procedures

4.2.18.1 General Reimbursement Guidelines

The KOHS will only reimburse grantees for the completion of programmed and budgeted activities performed under the grant agreement. No project costs incurred prior to the start of the contract period or after the contract period is over will be eligible for reimbursement. All expenses for match requirements must be incurred during the contract period.

Costs shall be considered incurred on the date of an invoice for purchases, date of travel, or date worked - not on the date of payment. Claims must be made using the required forms and shall be accompanied by proper documentation of expenses.

4.2.18.2 Reimbursement Schedule

Grantee claims for reimbursement of expenses shall be submitted on a monthly basis or according to an alternative schedule as approved by the KOHS. The reimbursement process will be initiated upon receipt of a claim voucher and supporting documentation.

4.2.18.3 Reimbursement Claim Form Required

Each reimbursement claim must be submitted using two completed Reimbursement Claim Forms (see appendix [#14](#) or [#15](#)) containing the original signature of the project director.

4.2.18.4 Backup Documentation

Two sets of all substantiating documentation shall be submitted for the following types of expenditures:

a) Personnel Expenses (salaries, wages, benefits)

Law enforcement agencies shall document personnel expenses by completing the [Overtime Worksheet](#), (see appendix #16) and [Officer's Overtime Detail Log](#), (see appendix # 6). Non-law enforcement grantees shall document personnel expenses through copies of employer time sheets and payroll reports.

b) Travel/Training

Expenses for approved travel and training must be detailed on a completed [travel reimbursement form](#) (see appendix #17) with copies of receipts for expenses over \$10.00 (hotel, registration fees, airfare, etc.). If approved within grant budget, meals are reimbursed using the state per diem rate and meal expenditures do not require receipts.

c) Contractual Services, Educational Materials, and Other Costs

A copy of the invoice and cancelled check that pays the invoice is required.

d) Equipment

A copy of the invoice and cancelled check that pays the invoice is required. Two completed copies of the [Non-Expendable Property Accountability Record form](#) (see appendix #18) are required.

4.2.18.5 Final Reimbursement Claims

The KOHS must receive final reimbursement claims within 30 days of the end of the fiscal year.

4.3 Financial Management for KOHS

4.3.1 Purchasing Procedures

In making purchases, the KOHS shall follow the Kentucky Transportation Cabinet policies and procedures.

4.3.2 KOHS Property

Property assigned to or acquired by the KOHS shall be accounted for in accordance with Kentucky Transportation Cabinet policies and procedures.

4.3.3 Maintenance of Grant Files

The KOHS's financial manager shall set up and maintain an official file for each grant administered through the KOHS. All claims, correspondence, reports, monitoring documents, etc. pertaining to such grants shall be placed in these files. Grant files will be retained for at least three years following the conclusion of the grant cycle on September 30.

4.3.4 Processing Grantee Claims

Upon completion of financial manager review, as stated in [Section 3.21.2](#), "Desk Monitoring," the financial manager forwards one copy of each grantee claim to the administrative specialist, who then prepares a payment document in the state's accounting system. Claims are then forwarded to Kentucky Transportation Cabinet Division of Accounts for approval. When payment document is approved, the State Treasury will generate a reimbursement check and mail to the grantee.

4.3.5 Recording Federal Obligations and Expenditures

The financial manager is responsible for financial transactions under the Highway Safety Plan (reimbursement vouchers, HSP revisions, cost summaries, and close-out) via the computerized Grants Tracking System (GTS) as provided by NHTSA.

Chapter 5 Media / Public Information

5.1 Use of Media Contractors

When professional advertising services are needed, the KOHS shall use the vendor under contract by the Commonwealth of Kentucky.

5.2 Response to Media Inquiries

News media representatives may contact the KOHS Media Coordinator to gather information regarding highway safety initiatives and campaigns. Employees of KOHS may speak to the news media regarding such issues upon obtaining prior approval of the Executive Director or Director. No KOHS employee shall release information concerning agency policies, personnel decisions, or confidential or restricted information.

5.3 Media Messages

Media messages developed for use in paid media campaigns shall be approved by the Executive Director or Director of the KOHS prior to public dissemination.

5.4 Media Releases

Media advisories and releases shall be coordinated between the KOHS and the Office of Public Affairs.

5.5 Right to Ownership

The Kentucky Office of Highway Safety, National Highway Traffic Safety Administration, and Federal Highway Administration reserve the royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and authorize others to use, any educational or instructional material developed by grantees with federal highway safety funding. "Educational or instructional materials" means written material, drawings, slides, photographs, filmstrips, motion pictures, television and radio public service announcements, and any other material whose primary purpose is to educate either the public at large or a specific subgroup of the public concerning highway safety or related subject.

Appendix Contents

1. Highway Safety Grant Application/Contract Conditions
2. Reimbursement Claim Checklist for Law Enforcement Agencies
3. Reimbursement Claim Checklist for Non-Law Enforcement Projects
4. Activity Reporting Form
5. Supplemental Checkpoint Reporting Form
6. Officers Overtime Detail Log
7. Detailed Monthly Narrative Report/Non-Law Enforcement Projects
8. Final Reporting Form Law Enforcement Projects
9. Final Reporting Form – Non Law Enforcement Projects
10. Preparation for Monitoring Visit Checklist
11. On-Site Monitoring Review Form
12. Attachment A – Guidelines for Educational Materials Purchases
13. Out-of-State/Overnight Travel Request Form
14. Reimbursement Claim Form – Law Enforcement
15. Reimbursement Claim Form – Non Law Enforcement Projects
16. Overtime Worksheet
17. Travel Reimbursement Form
18. Non-Expendable Property Accountability Record

KENTUCKY OFFICE OF HIGHWAY SAFETY

HIGHWAY SAFETY GRANT APPLICATION

If your agency would like to be considered for a highway safety grant, you must complete and **submit the original application plus three (3) copies by close of business, Friday, April 25, 2008. Please do not bind the original or copies.** Approval of grant application is based on analysis of crash data, an agency's past participation in highway safety campaigns, past performance with highway safety grants (if applicable), and funding availability. Please contact the Kentucky Office of Highway Safety at (502) 564-1438 if you need assistance with this application.

AGENCY APPLICATION INFORMATION

CONTRACTING AGENCY:

Federal Tax ID Number: _____

County: _____

AUTHORIZING OFFICIAL'S NAME:

Title: _____

Address: _____

City: _____

State: _____

Zip Code: _____

Telephone No.: _____

Fax Number: _____

PROJECT DIRECTOR/COORDINATOR:

Title: _____

Address: _____

City: _____

State: _____

Zip Code: _____

Telephone No.: _____

Fax Number: _____

E-Mail Address: _____

FISCAL OFFICER:

Title: _____

Address: _____

City: _____

State: _____

Zip Code: _____

Telephone No.: _____

Fax Number: _____

DUE DATE: CLOSE OF BUSINESS, FRIDAY, APRIL 25, 2008

Return original and 3 copies to:

Transportation Cabinet
Kentucky Office of Highway Safety
200 Mero Street, 4th Floor
Frankfort, KY 40622

COMMONWEALTH OF KENTUCKY
TRANSPORTATION CABINET
KENTUCKY OFFICE OF HIGHWAY SAFETY
200 MERO STREET, 4th Floor
FRANKFORT, KY 40622

PROJECT TITLE

(THIS SECTION TO BE COMPLETED BY
KENTUCKY OFFICE OF HIGHWAY SAFETY)

GRANT NUMBER

PROGRAM MANAGER

APPROVAL/STARTING DATE

LOCAL BENEFIT: ☐ YES ☐ NO
Total Amount:

GRANT PERIOD

From: October 1, 2008

To: September 30, 2009

NAME OF APPLICANT/GRANTEE

ADDRESS

PROJECT DIRECTOR'S NAME:

PROJECT DIRECTOR'S PHONE NUMBER:

TYPE OF PROJECT

☐ Initial

Continuation

☐ 2nd Year

☐ 3rd Year

☐ 4th Year

☐ 5th Year and beyond

FEDERAL COST CATEGORIES

Personal Services \$

Contractual Services \$

Educational Materials \$

Equipment \$

Other Costs \$

Total Budgeted Costs \$

SOURCE OF FUNDS

	Amount
Federal	\$
State	\$
Local	\$
Other	\$
Total Project Costs	\$

All above costs must equal detailed budget breakdown page (see Section E).

PROJECT DESCRIPTION: PROVIDE A BRIEF DESCRIPTION OF YOUR PROPOSED HIGHWAY SAFETY PROJECT.

The following is mutually agreed by the parties executing this contract: the reimbursable costs shall not exceed \$____, the recipient of funds shall proceed with the implementation of the program as detailed in this contract and shall adhere to conditions specified in this contract, all Federal and State of Kentucky laws and regulations are applicable, and any addendum or conditions thereto shall be binding; any facilities and/or equipment acquired in connection with this contract shall be used and maintained for highway safety purposes. Federal funds from other sources, including Federal Revenue Sharing funds, will not be used to match the Federal funds obligated to this project.

A. PROBLEM IDENTIFICATION. Fill in the statistics requested below for your jurisdiction. Applicants are encouraged to consult the CRASH database or data available on the Kentucky Office of Highway Safety website at www.highwaysafety.ky.gov.

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Department Size
(Sworn Only)

Total Population for
City/Town or County

Seat Belt Usage
Rate

DUI
Conviction Rate

CRASH DATA

	2007	2006	2005
Total Crashes			
Total Injury Crashes			
Total Fatal Crashes			
Total Alcohol-Related Crashes			
Total Alcohol-Related Injury Crashes			
Total Alcohol-Related Fatal Crashes			
Total Speed-Related Crashes			
Total Speed-Related Injury Crashes			
Total Speed-Related Fatal Crashes			

INDICATE DATA SOURCE(S) FOR CRASH DATA AND CITATION/ARREST DATA: _____

CITATION/ARREST DATA

	2007	2006	2005
Speeding Citations			
DUI Arrests (drug and alcohol)			
Child Restraint Citations			
Seat Belt Citations			

A. PROBLEM IDENTIFICATION:

PROVIDE A NARRATIVE OF THE HIGHWAY SAFETY PROBLEM IN YOUR COMMUNITY. DESCRIBE THE NATURE AND MAGNITUDE OF THE PROBLEM USING VALID, UP-TO-DATE STATISTICAL DATA.

Appendix 1
Page 4 of 13

Please note: Continuation pages are available at the end of the grant application.

B. GOAL(S):

USE THE SPACE BELOW TO DESCRIBE THE BROAD, LONG-TERM OUTCOMES THAT THE PROGRAM IS DESIGNED TO ACHIEVE.

EXAMPLE: To reduce the number of total crashes in _____ city/county.

Appendix 1
Page 5 of 13

C. OBJECTIVES

USE THE SPACE BELOW TO PROVIDE A MINIMUM OF THREE (3) OBJECTIVES FOR YOUR HIGHWAY SAFETY PROJECT. OBJECTIVES SHOULD BE SPECIFIC, MEASURABLE, REALISTIC, AND TIME-FRAMED STATEMENTS OF WHAT THE PROJECT WILL ACCOMPLISH. INCLUDE BASELINE PERFORMANCE MEASURES FOR COMPARISON.

EXAMPLE: To reduce the number of speed-related crashes in _____ city/county by 10% by September 30, 2009. Baseline: In 2007, there were _____ speed-related crashes.

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D. STRATEGIES AND ACTIVITIES:

USE THE SPACE BELOW TO LIST OR DESCRIBE THE SPECIFIC PLANNED ACTIVITIES THAT YOU WILL PERFORM TO ACHIEVE YOUR OBJECTIVES.

EXAMPLE: To assign officers _____ overtime enforcement hours per week at identified high-crash locations within the city/county of _____.

Appendix 1
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Please note: Continuation pages are available at the end of the grant application.

Appendix 1
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1. **PERSONAL SERVICES:** (Salaries, Wages, Benefits, Travel, and Training expenses)
2. **CONTRACTUAL SERVICES** (Estimated cost of outside services – list each service separately)
3. **EDUCATIONAL MATERIALS** (Estimated cost of printed materials and other educational items – list each separately). Include set-up fees and shipping costs.
4. **EQUIPMENT** (Estimated cost of equipment items – list each separately. Include shipping costs.
5. **OTHER COSTS** (Estimated cost of expenditures that do not fit above categories – list each item separately)

\$_____

8

Appendix 1
Page 9 of 13

**THE FOLLOWING CONDITIONS SHALL BE IN EFFECT UPON SIGNED APPRI
AGREEMENT BETWEEN KENTUCKY OFFICE OF HIGHWAY SAFETY AND THE APPLICANT**

1. RELATIONSHIP: The relationship of the Applicant/Grantee to the Grantor shall be that of an independent contractor, not that of a joint enterprise. The Applicant/Grantee shall have no authority to bind the Grantor, for any obligation or expense without the expressed prior written approval of the Grantor.
2. GRANT ACTIVITY: Grant activity must begin within thirty (30) days of approved start date and after signed approval of the grant agreement by the Governor's Representative.
3. COSTS INCURRED: No costs incurred for this project will be eligible for reimbursement prior to approval/starting date of the grant agreement or after grant period is over.
4. MONTHLY REPORTING: The Applicant/Grantee will be required to submit monthly reports to include documentation of all enforcement, education, and other activities to the Grantor. A final cumulative report addressing achievement of goals, objectives and strategies will be due to the Grantor within 30 days after the grant period has ended. The final reimbursement claim shall be submitted by the date determined by the Grantor (generally 45 days after the grant period has ended).
5. FISCAL AND ACCOUNTING RESPONSIBILITIES: The Applicant/Grantee must establish fiscal control with generally accepted accounting procedures that assure proper disposition of an account for grant funds and if applicable, required non-federal expenditures. All money spent on this project will be dispersed in accordance with provisions of the grant budget or officially revised budget as approved by the Grantor.
6. COST PRINCIPLES: Costs incurred (when goods are received and accepted or services are performed) under the grant agreement shall be determined in accordance with the general principles of allowability and standards for selected cost items as set forth in Office of Management and Budget Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments*; A-21, *Cost Principles for Institutions of Higher Education*; A-122, *Cost Principles for Nonprofit Organizations*; and all applicable National Highway Traffic Safety Administration/Federal Highway Administration Orders.
7. MAINTENANCE OF RECORDS: The Applicant/Grantee agrees that the Grantor, the National Highway Traffic Safety Administration, the Federal Highway Administration and/or the Controller General of the United States, the Auditor of the State of Kentucky or any of their duly authorized representatives may have access, for purposes of audit examinations, to any books, documents, papers or records maintained by the Applicant/Grantee pertaining to the grant agreement. The Applicant/Grantee further agrees to maintain such books and records for a period of three years after the date of final project disposition.
8. PURCHASING: The Applicant/Grantee is required to use their agency's procurement regulations that reflect applicable state and local laws, rules and regulations.
9. EQUIPMENT: All Grantee agencies will use, manage, and dispose of equipment acquired under a Federally funded highway safety grant in accordance with State laws and procedures. Such equipment shall be used for the purpose of enhancing the Grantee's highway safety program. Grantees in non-compliance of this provision shall be required to return said equipment to the Grantor. Grantees will submit a completed Non-Expendable Property Accountability Record with their claim for reimbursement for any equipment item purchased. The Applicant/Grantee is responsible for insuring all equipment items and will be liable to Grantor for loss, theft, or damage to equipment.
10. TRAVEL (IN-STATE AND OUT-OF-STATE): All travel reimbursements will be made in accordance with the provisions of 200 KAR Chapter 2. The mileage reimbursement shall be determined by the current rate published quarterly by the Finance Cabinet.

Overnight travel must be an item within the detailed budget portion of the grant agreement. Applicant/Grantee must submit a completed request for overnight travel authorization form for approval to the Grantor at least fifteen (15) days prior to the anticipated date of departure.

11. PAYROLL PROCEDURES AND RECORDS REQUIRED: Compensation for personal services

- (a) They are for services rendered during the grant period;
- (b) They are reasonable and normal for the services rendered;
- (c) Paid personnel are appointed in accordance with state and local government laws and rules;
- (d) They are based on payrolls documented and approved in accordance with generally accepted accounting principles; and
- (e) They are supported by time and attendance records signed by both employee and supervisor.

Employee Benefits are allowable if:

- (a) They are approved pursuant to a leave system;
- (b) Employer's contribution or expense includes:
 - 1. Social Security
 - 2. Employee's health insurance plans, (excludes overtime)
 - 3. Unemployment Insurance coverage
 - 4. Workmen's compensation Insurance,
 - 5. Pension plans; and,
- (c) The cost thereof is equitably allocated to all activities.
- (d) Overtime pay is calculated in accordance with existing labor laws and is paid at the rate of one and one-half (1.5) times the person's hourly rate of pay for actual hours worked in excess of forty (40) hours in any week. All paid time (vacation, sick, and compensatory leave) except holiday leave is counted as hours worked for purpose of computing eligibility for overtime unless a department's overtime policy is more stringent, in which case, departmental policy on overtime shall apply. Overtime will be strictly for traffic enforcement activities.

12. SPECIAL INSTRUCTIONS FOR LAW ENFORCEMENT AGENCIES:

- (a) Officers are required to complete a detailed activity log after each assignment.
- (b) Enforcement officers assigned to this project will not answer calls for service, except in emergency situations. Emergency situations and breaks do not qualify for federal overtime funding.
- (c) Officers are limited to 6 hours of federally funded overtime within a 24-hour period.
- (d) Activities which will be credited as comprehensive enforcement contacts will include: 1) DUI arrests, 2) speeding citations, 3) seat belt citations, 4) written warnings, 5) child restraint citations, 6), other arrests related to traffic stops, and 7) other activities as approved by the Grantor.
- (e) Officers who have been trained in DUI apprehension and speed detection (radar usage) are eligible to be assigned to the enforcement effort.
- (f) Only one officer per unit vehicle is eligible for reimbursement.
- (g) The Applicant/Grantee should be involved in public relations (earned media) and educational activities that support national and state highway safety efforts.
- (h) Participation in all mobilizations/traffic safety enforcement events sponsored by the National Highway Traffic Safety Administration (NHTSA) and/or the Grantor is required.
- (i) All educational materials/promotional items must have an approved highway safety message (by the Grantor) that corresponds to their program area.

13. PROJECT INCOME: No income may be earned by the Applicant/Grantee with respect to through the Grantor.
14. RIGHT TO OWNERSHIP: The Applicant/Grantee understands that the Grantor, National Highway Traffic Safety Administration, and the Federal Highway Administration, reserve the royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and authorize others to use, any educational or instructional material developed with the Highway Safety Act of 1966 funding. "Educational or instructional materials" means written material, drawings, slides, photographs, filmstrips, motion pictures, television and radio public service announcements, and any other material whose primary purpose is to educate either the public at large or a specific subgroup of the public concerning highway safety or related subject.
15. NON-DISCRIMINATION: The Applicant/Grantee agrees to comply with all Federal statutes and implementing regulations relating to nondiscrimination concerning race, color, national origin, sex, handicaps, and age. These include but are not limited to:
- (a) Titles VI and VII of the Civil Rights Act of 1964;
 - (b) Title IX of the Education Amendments of 1972, as amended;
 - (c) Section 504 of the Rehabilitation Act of 1973, as amended;
 - (d) The Age Discrimination Act of 1975, as amended
16. MINORITY BUSINESS ENTERPRISES POLICY: It is the policy of the U.S. Department of Transportation that minority business enterprises as defined in 49 CFR Part 23, shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with federal funds under the grant agreement. Consequently, the MBE requirements of 49 CFR Part 23 applies to the grant agreement.
17. AUDIT: OMB Circular A-133, known as The Single Audit Act, requires the following:
- (a) State or local governments that expend \$500,000 or more a year in Federal financial assistance shall have an audit made in accordance with this Circular.
 - (b) Nothing in this section exempts State or local governments from maintaining records of Federal financial assistance or from providing access to such records to Federal agencies, as provided for in Federal law or in 49 CFR 18, Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments (revised A-102).
18. HIGH RISK GRANTEES:
- (a) An Applicant/Grantee may be considered a "high risk" if the Grantor determines that they:
 - 1. Have a history of unsatisfactory performance. Unsatisfactory performance includes, but is not limited to: lack of substantial progress on all goals and objectives as included in the signed grant agreement; inability to properly expend the federal highway safety grant funds allocated to meet the goals and objectives as included in the signed grant agreement; lack of participation in NHTSA and KYTC activities or
 - 2. Are not financially stable, or
 - 3. Have a management system which does not meet the management standards set forth in this part, or
 - 4. Have not conformed to terms and conditions of previous awards, or
 - 5. Are otherwise not responsible; and if the Grantor determines that an award will be made, special conditions and/or restrictions shall correspond to the high-risk condition and shall be included in the award.
 - (b) Special conditions and restrictions may include:
 - 1. Payment on a reimbursement basis;
 - 2. Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given funding period;
 - 3. Requiring additional, more detailed, financial reports;
 - 4. Additional project monitoring;
 - 5. Requiring the grantee or subgrantee to obtain technical or management assistance, or
 - 6. Establishing additional prior approvals.

(c) If the Grantor decides to impose such conditions, the awarding official will notify the _____ as possible, in writing, of:

1. The nature of the special conditions/restrictions;
2. The reasons for imposing them;
3. The corrective actions which must be taken before they will be removed, and the time allowed for completing the corrective actions, and
4. The method of requesting reconsideration of the conditions and/or restrictions imposed.

Source: Uniform Administrative Requirements for Grants and Cooperative Agreements to state and Local Governments ("The Common Rule") 49 CFR-Part 18-Subpart B-18.12.

19. DRUG-FREE WORKPLACE: The Applicant/Grantee certifies that they will maintain a drug-free workplace in accordance with the Federal Drug-free Workplace Act of 1988. This regulation requires the employer to provide employees with a statement notifying them that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the agency's workplace and specifying penalties for violation of such prohibition. The Applicant/Grantee must also abide by all other provisions of this regulation, detailed in 49 CFR Subpart F.
20. BUY AMERICA ACT: The Applicant/Grantee certifies that they will comply with the Buy America Act (23 USC 101 Note) which contains the following requirements: Only steel, iron and manufactured products produced in the United States may be purchased with Federal funds unless the Secretary of Transportation determines that such domestic purchases would be inconsistent with the public interest; that such materials are not reasonably available and of a satisfactory quality; or that inclusion of domestic materials will increase the cost of the overall project contract by more than 25 percent. Clear justification for the purchase of non-domestic items must be in the form of a waiver request submitted to and approved by the Secretary of Transportation.
21. POLITICAL ACTIVITY (HATCH ACT): The Applicant/Grantee and all their employees working under the grant agreement will comply with the provisions of the Hatch Act, which prohibit them from active participation in political management and political campaigns while receiving federal funds. For further detail, see U.S.C. §§ 1501-1508 and implementing regulations of 5 CFR Part 151 concerning "Political Activity of State or Local Offices, or Employees."
22. CERTIFICATION REGARDING FEDERAL LOBBYING:
The Applicant/Grantee certifies, to the best of his or her knowledge and belief, that: No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
23. RESTRICTION ON STATE LOBBYING:
None of the funds under this program will be used for any activity specifically designed to urge or influence a State or local legislator to favor or oppose the adoption of any specific legislative proposal pending before any State or local legislative body. Such activities include both direct and indirect (e.g., "grassroots") lobbying activities, with one exception. This does not preclude a State official whose salary is supported with NHTSA funds from engaging in direct communications with State or local legislative officials, in accordance with customary State practice, even if such communications urge legislative officials to favor or oppose the adoption of a specific pending legislative proposal.

24. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION – LOWER TIER COVERED TRANSACTION

By signing the grant agreement, the Grantee is providing certification that:

- (1) Neither the agency nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

The terms *covered transaction*, *debarred*, *suspended*, *ineligible*, *lower tier covered transaction*, *participant*, *person*, *primary covered transaction*, *principal*, *proposal*, and *voluntarily excluded*, as used in this clause, have the meanings set out in the Definition and Coverage sections of 49 CFR Part 29. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.

**Kentucky Office of Highway Safety
Division of Highway Safety Programs**

REIMBURSEMENT CLAIM CHECKLIST FOR LAW ENFORCEMENT AGENCIES

Reimbursement claims, supporting documentation and activity reports are due once monthly. Claims must be received no later than the end of the month following the month being claimed. For example, a claim for July should be received by the Kentucky Office of Highway Safety prior to the end of August. If for some reason an agency does not have activity for any given month, they must inform Program Manager.

The following documents are required elements of your reimbursement claim:

- ☐ **Reimbursement Claim Form**: Two (2) completed forms with an **original signature and the printed name** of the project director on each form.
- ☐ **Overtime Worksheets**: Two (2) completed worksheets with an **original signature and the printed name** of the project director. Each officer **should have only one line** showing total hours worked for the month. Allowable employer paid benefits can include FICA (including Medicare), retirement, and workers compensation.
- ☐ **Supporting Documentation** (Requires two (2) complete sets)
 - **Travel** (Kentucky Lifesavers Conference): *All Project Director/Coordinators are encouraged to attend, however, conference is not mandatory.* Grantees choosing to attend will be required to sign in at each session to verify attendance for reimbursement. The only allowable expenditures include registration fee, 2 nights lodging and parking for 1 officer **OR** registration fees and parking for up to 3 officers. The following supporting documentation is required:
 1. Copy of paid registration
 2. Copy of paid hotel receipt
 3. Copy of paid parking receipt (could be included in hotel receipt)
 4. Copy of cancelled check for final payment of each of the above
 - **Equipment**: Two (2) copies of invoice(s) and two (2) copies of the cancelled check(s) that pays the invoice(s). Two (2) completed Non Expendable Property Accountability Record forms with **original signature and the printed name** of project director.
- ☐ **Activity Reporting Form**: One completed form with **original signature and the printed name** of project director.
- ☐ **Officers Overtime Detail Logs**: Two (2) copies of this form are required for each day the officer works an overtime shift. **Logs must include the printed name and signature of both the officer and the supervisor (officers can not sign log as their own supervisor).**

Final Reports and Final Reimbursement Claims are due prior to October 30, 2009

**Kentucky Office of Highway Safety
Division of Highway Safety Programs**

**REIMBURSEMENT CLAIM CHECKLIST
(NON-LAW ENFORCEMENT PROJECTS)**

Reimbursement claims are due once monthly. Claims must be received no later than the end of the month following the month being claimed. For example, a claim for July should be received by the Kentucky Office of Highway Safety prior to the end of August. If for some reason an agency does not have activity for any given month, they must inform their Program Manager.

The following documents are required elements of your reimbursement claim:

- ☐ **Reimbursement Claim Form:** Two (2) completed forms with an **original signature and the printed name** of the project director on each form.
- ☐ **Monthly Expenditure Report:** Includes detailed expenses sorted by cost category indicating each line item expense.
- ☐ **Monthly Activity Report:** A **narrative** report of the work performed for the highway safety project during the claim period. Report should focus on accomplishments or progress toward the strategies/activities outlined in the grant contract. **Report must include the name of the agency/organization, grant number, reporting month, and the printed name and original signature of project director.** If salary is funded with federal dollars – include a daily activity log.
- ☐ **Supporting Documentation** (Two copies of all supporting documentation required)
 - **Salaries & benefits:**
 1. Copies of the employee's time sheets with the printed names and signatures of the employee and the employee's supervisor.
 2. Payroll reports showing the costs (wages, employer-paid benefits) for the employee for their work associated with the highway safety project. Cancelled payroll checks are not required.
 - **Travel Expenses:** Travel is only reimbursable if it is specified in the approved grant budget. Overnight and out-of-state travel requires advance approval of the Office of Highway Safety. Travel must be documented through the following:
 1. Agency travel voucher/report showing dates, departure times, starting and ending locations, purpose of each trip, mileage, (*include the mileage rate on travel form for mileage claimed*) and the printed name and signature of the employee and supervisor. Mileage and meals will only be reimbursed at the current State rate approved by the Finance Cabinet.
 2. Copy of cancelled travel reimbursement check to the employee. Check amount should match the expenses shown on the accompanying travel voucher.
 3. Receipts and proof of final payment for expenses such as airfare, lodging, fuel costs, and conference registration fees. Proof of final payment would include cancelled check or credit card billing statement **plus** cancelled check to the creditor.
 - **Contractual Services/Equipment/Other Costs:** Both the invoice (fully describing the provided goods or services) and a copy of the cancelled check used to pay the contractor/vendor invoice are required.

Final Reports and Final Reimbursement Claims are due prior to October 30, 2009

Activity Reporting Form
(Revised 11-15-2008)

Appendix 4

Grant Name: Highway Safety

Grant Number: _____

Agency Name: _____

Reporting Month/Year: _____

Monthly Patrol Enforcement/ Activity

Total Patrol Hours Worked:	
1. DUI Arrests:	
2. Other Arrests:	
3. Speeding Citations:	
4. Seat Belt Citations:	
5. Child Restraint Citations:	
6. Other Traffic Citations:	
7. Written Warnings (other traffic):	
Total Contacts (add rows 1 thru 7):	
Contact Ratio: Total Contacts ÷ Number of Hours Worked	

Monthly Checkpoint Information

Checkpoint Date:		Location:	
Start Time: (Military Time *)		# of Officers:	
End Time: (Military Time *)		Estimated # Vehicles Through	
Total Officer- Hours:			
1. DUI Arrests:			
2. Other Arrests:			
3. Speeding Citations:			
4. Seat Belt Citations:			
5. Child Restraint Citations:			
6. Other Traffic Citations:			
7. Written Warnings (other traffic):			
Total Contacts (add rows 1 thru 7):			

* 12:00 am (midnight) = 0000

(To report additional checkpoints, use supplemental checkpoint reporting form)

Certified Correct By:

Project Director (please print)

Project Director (signature)

Signed Hard Copy Must be Submitted

Supplemental Checkpoint Reporting Form

(Created 11-15-2008)

Appendix 5

Grant Name: Highway Safety

Grant Number: _____

Agency Name: _____

Reporting Month/Year: _____

Checkpoint Date:	
Start Time: (Military Time *)	
End Time: (Military Time *)	
Total Officer- Hours:	
1. DUI Arrests:	
2. Other Arrests:	
3. Speeding Citations:	
4. Seat Belt Citations:	
5. Child Restraint Citations:	
6. Other Traffic Citations:	
7. Written Warnings (other traffic):	
Total Contacts (add rows 1 thru 7):	

Location:	
# of Officers:	
Estimated # Vehicles Through	

* 12:00 am (midnight) = 0000

Checkpoint Date:	
Start Time: (Military Time *)	
End Time: (Military Time *)	
Total Officer- Hours:	
1. DUI Arrests:	
2. Other Arrests:	
3. Speeding Citations:	
4. Seat Belt Citations:	
5. Child Restraint Citations:	
6. Other Traffic Citations:	
7. Written Warnings (other traffic):	
Total Contacts (add rows 1 thru 7):	

Location:	
# of Officers:	
Estimated # Vehicles Through	

* 12:00 am (midnight) = 0000

Checkpoint Date:	
Start Time: (Military Time *)	
End Time: (Military Time *)	
Total Officer- Hours:	
1. DUI Arrests:	
2. Other Arrests:	
3. Speeding Citations:	
4. Seat Belt Citations:	
5. Child Restraint Citations:	
6. Other Traffic Citations:	
7. Written Warnings (other traffic):	
Total Contacts (add rows 1 thru 7):	

Location:	
# of Officers:	
Estimated # Vehicles Through	

* 12:00 am (midnight) = 0000

Certified Correct By:

Project Director (please print)

Project Director (signature)

Signed Hard Copy Must be Submitted

Officers Overtime Detail Log

(Revised 11-15-2008)

Appendix 6

Grant Name: Highway Safety

Grant Number: _____

Agency Name: _____

Odometer
In: _____Odometer
Out: _____

Date _____

Time Beginning _____

Time
Ending _____Total Hours
Worked _____

Traffic Safety Checkpoint (Y/N) _____

Citation Number	Violator's Last Name	Location/Roadway(s)	Charge Description

Activity Logs MUST be attached to Overtime Worksheet before reimbursement can be processed

Officer's Name: (please print)_____
Officer's Signature_____
Supervisor's Name: (please print)_____
Supervisor's Signature**Signed Hard Copy MUST be submitted**Total Arrests: DUI _____
Total Citations: Speeding _____
Other Traffic Citations _____
Written Traffic Warnings _____Other _____
Seat Belt _____ Child Restraint _____

Page _____ of _____

Detailed Monthly Narrative Report for:
Grantee Agency Name:
Grant Number:

The following are examples of what your narrative report should include:

- If your salary or a portion of your salary is paid with federal dollars, the narrative report should include a summary of activities for each month.
- If you attend a training/conference include a copy of the agenda as well as information of how the training/conference benefited you in your position.
- If you coordinate training or conduct workshop(s), include a copy of the agenda if applicable as well as the number of persons in attendance at the training/conference.
- If you conduct a CPS event, include the date and location of the event and the number of seats checked/installed.

Grant Projects that do not have activity every month should submit a detailed narrative for only those months with grant expenditures. For example, if your project involves a one-time payment for contractual services, include a summary of activities that were completed for that payment.

**Kentucky Transportation Cabinet
Office of Highway Safety
Final Reporting Form
Law Enforcement Projects
Activities Completed: October 1, 2007-September 30, 2008
(Return by October 31, 2008)**

Agency Name:

Project Director:

E-mail address:

Grant Number:

Phone Number:

Fax Number:

List each objective within your proposal or completed monitoring report and provide information relevant to the status of each through contract end date, September 30, 2007. See example below:

- 1. To reduce injury crashes from 833 to 792 for grant period beginning October 2007 and ending September 30, 2008.*

Status: From October 1, 2007 through September 30, 2008, our crashes reduced from 833 to 788.

If you did not meet an objective, provide explanation along with the status.

Indicate information below for activity during federal overtime program:

Total hours of overtime worked (checkpoints and patrol enforcement):

Total number of DUI arrests (checkpoints and patrol enforcement):

Total number of speeding citations issued:

Total number of child restraint violations issued:

Total number of seat belts violations issued:

Total number of traffic safety checkpoints held:

Pre-grant seat belt usage rate:

Post-grant seat belt usage rate:

Number of officers certified as Child Passenger Safety Technicians:

Please return to:

Kentucky Transportation Cabinet
Office of Highway Safety
Grants Management
200 Mero Street 4th floor
Frankfort, KY 40622
www.highwaysafety.ky.gov

**Kentucky Transportation Cabinet
Office Of Highway Safety
Final Reporting Form
Non-Overtime Enforcement Projects
Activities Completed: October 1, 2007-September 30, 2008
(Return by October 31, 2008)**

Agency Name:

Project Director:

E-mail address:

Grant Number:

Phone Number:

Fax Number:

Please provide a summary of activities/accomplishments for the grant year.

List each objective and provide information relevant to the status of each through contract end date, September 30, 2007. See example below:

- 1. To conduct (2) Drug Recognition Evaluation (DRE) & Classification Programs and train a minimum of 20 law enforcement officers to be certified DRE officers by September 30, 2008.***

Status: By September 30, 2008, we conducted (2) DRE classes and trained 22 law enforcement personnel. As of this date, 20 of the 22 have received certification.

If you did not meet an objective, provide explanation along with the status.

KENTUCKY OFFICE OF HIGHWAY SAFETY

PREPARATION FOR MONITORING VISIT

- () Be prepared to discuss implementation of each strategy/activity in your grant application and give explanation if they were not performed as scheduled.
- () Be prepared to discuss the level of progress of each item listed in the "Objectives" portion of your grant contract.
For example, if your objective states to decrease impaired driving crashes by 3% by September 30, 2009, be prepared to report the number of impaired driving crashes since the grant began through as current as possible and compare that number to the same time period for the previous year. **Have this information available prior to the meeting.**
- () Discuss with program manager and/or your law enforcement liaison (LEL) if applicable any problems you have encountered.
- () Be prepared to discuss the status of any programmatic modifications that may have been made since the award date.
- () Have available inventory records for all equipment purchased during the contract period with highway safety funds, if applicable.
- () Be prepared to demonstrate the use of equipment purchased with grant funds during this contract period, if applicable.
- () Have available for review the grant file, including the grant application and signed grant award; any grant budget revisions and; related correspondence.

**Kentucky Transportation Cabinet
Office of Highway Safety
On-Site Monitoring Review**

Section 1 - Grant Information

Grant Number: _____ **Date Monitored:** _____

Grant Title: _____

Grantee Name/Address:

Grant Amount: _____

Required Match %: _____

**Grants Management Staff
Conducting Review**

Name:
Title:

Name:
Title:

**Grantee Staff
Interviewed**

Name:
Title:

Name:
Title:

Project Focus:

Section 2 - Status of Project Implementation

A. Implementation Schedule Review:

	Yes	No
◆ Are the project activities being performed as scheduled?	<input type="checkbox"/>	<input type="checkbox"/>

* List any project activities that are NOT being performed as scheduled with activity status.

B. Review of Fulfillment of Specific Objectives:

- ◆ What is the current project status for each objective?

General Project Checklist

QUESTIONS

	N/A	Yes	No
1. Is copy of grant with revisions on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is a balance sheet readily available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3a. Is equipment purchased?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3b. Is equipment installed/being utilized?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4a. Have educational materials been purchased?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4b. Is there a safety message on educational materials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are ratios acceptable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Does agency access crash database to monitor crash data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Is technical assistance needed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes/Recommendations:

Monitoring Report Submitted by:

Program Manager or
Law Enforcement Liaison

Date

Reviewed By:

Division Director

Date

ATTACHMENT A (revised Oct, 2008)

GUIDELINES FOR EDUCATIONAL MATERIALS PURCHASES

1. Purchasing

Subgrantees/Contractors are required to use their own procurement regulations which reflect applicable state, local laws, rules and regulations. (see section 9 of contract conditions).

2. Allowable Items

In an effort to expedite purchases of PI & E (public information and education) materials, the following items may be purchased without obtaining prior approval from the Kentucky Office of Highway Safety (provided that the approved grant contract contains an educational materials budget):

Key Tags/Key Tag Flashlights	Bookmarks
Litter Bags	Bumper Stickers/Other stickers
Insurance/Registration Holders	Magnets
Pencils/Pens	Ice Scrapers (pocket-sized)
Vehicle Air fresheners	Note Pads (pocket-sized)
Stick-on calendars	Posters

Any item not listed above requires prior approval in the form of a written request to the Kentucky Office of Highway Safety. The request should state the item(s) you wish to purchase, the quantity, price, and an explanation of how the item(s) relates to your highway safety program. The purchase of such items **will not** be reimbursed unless prior written approval is obtained.

3. Ordering Deadline

All educational materials must be ordered by **April 30th** of the grant year.

4. Highway Safety Message Required

All educational material items must have an approved highway safety message (by the Kentucky Office of Highway Safety) that corresponds to the program area.

Out-of-State / Overnight Travel Request Form

Revised 10-2008

Agency: _____
 Grant #: _____
 Traveler(s): _____
 Destination: _____
 Purpose of Travel: _____
 Departure Date: _____
 Return Date: _____

Projected Costs

Transportation
 Airfare: _____
 Vehicle: _____
 Taxi/Shuttle: _____
 Subsistence
 Lodging: _____
 Food*: _____
 Registration/Fees: _____
 Other (specify) _____
 Total: _____

* Maximum allowable subsistence is limited to the prevailing per diem rates as established by KAR 2:006 (see <http://finance.ky.gov/internal/travel/> for details).

Project Director's name (please print): _____
 Signature of Project Director: _____ Date: _____

Grants Management Branch Review

- ☐ Travel approved. Conditions (if applicable): _____

- ☐ Travel denied. See comments below:

GMB Representative: _____ Date: _____

SIGNED HARD COPY MUST BE SUBMITTED

Reimbursement Claim Form

Law Enforcement Overtime

(Revised 11-15-2008)

FOR INTERNAL USE ONLY	
Program Manager Approval:	
Financial Manager Approval:	

Send To: Kentucky Office of Highway Safety
 Division of Highway Safety Programs
 200 Mero Street, 4th floor
 Frankfort, Kentucky 40622

Claim #: _____

Select claim type : _____

From: _____

Prepared By: _____ Telephone: _____

Grant Name: Highway SafetyGrant Number: _____ CFDA # 20.600

Claim Period From: _____ (m/d/yyyy) To: _____ (m/d/yyyy)

<u>Cost Categories</u>	<u>Actual Cost</u>	<u>Match Amount</u>	<u>Federal Amount</u>
Salaries & Benefits	_____	_____	_____
Travel (KY Life Savers)	_____	_____	_____
Fuel Costs	_____	_____	_____
Equipment	_____	_____	_____
Total	_____	_____	_____

I certify that actual costs claimed have been incurred for the purposes specified in this Highway Safety Project and that the original documentation to support these costs is available. I understand that unsupported costs will be charged against this project at time of audit.

 Project Director (please print)

 Project Director's Signature

 Date
2 COPIES WITH ORIGINAL SIGNATURES MUST BE SUBMITTED

Reimbursement Claim Form

(Revised 11-15-2008)

FOR INTERNAL USE ONLY	
Program Manager Approval:	
Financial Manager Approval:	

Send To: Kentucky Office of Highway Safety
 Division of Highway Safety Programs
 200 Mero Street, 4th floor
 Frankfort, Kentucky 40622

Claim #: _____

Select claim type : _____

From: _____

Prepared By: _____ Telephone: _____

Grant Name: Highway SafetyGrant Number: _____ CFDA # 20.600

Claim Period From: _____ (m/d/yyyy) To: _____ (m/d/yyyy)

<u>Cost Categories</u>	<u>Actual Cost</u>	<u>Match Amount</u>	<u>Federal Amount</u>
Salaries & Benefits	_____	_____	_____
Travel	_____	_____	_____
Contractual Services	_____	_____	_____
Educational Materials	_____	_____	_____
Equipment	_____	_____	_____
Other Costs	_____	_____	_____
Total	_____	_____	_____

I certify that actual costs claimed have been incurred for the purposes specified in this Highway Safety Project and that the original documentation to support these costs is available. I understand that unsupported costs will be charged against this project at time of audit.

 Project Director (please print)

 Project Director's Signature

 Date

2 COPIES WITH ORIGINAL SIGNATURES MUST BE SUBMITTED

(Revised 11-15-2008)

Grant Number:

Date:

Claim #:

SIGNED HARD COPY MUST BE SUBMITTED

Project Director's Signature:

DO NOT USE ALL CAPS when completing this form. Use regular sentence punctuation.

KENTUCKY TRANSPORTATION CABINET
Division of Accounts
eMARS TRAVEL REIMBURSEMENT

Appendix 17
Page 1 of 5

TC 31-21E
Rev. 1/2009
page 1 of 5

Agency: **C35**

Document Number: _____

Authorization: _____

Page 2 of	DATE	AGENCY NAME
EMPLOYEE ID	TRAVELER'S WORK STATION	OFFICE PHONE
TRAVELER NAME	TRAVELER'S RESIDENCE	

MO	DAY	TIME OF		LOCATION	PRIVATE AUTO MILEAGE	TOLLS AND/OR PARKING	LODGING	SUBSISTENCE	TOTALS
		DEPARTURE	RETURN						
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									

If mileage claimed, was State car available? ☐ YES ☐ NO ☐ Rode with another state employee.

TOTALS FOR THIS PAGE

ENTER MILEAGE FROM ALL PAGES _____ (Miles) x .37 (Cents Per Mile)

Airfare Expenses: _____

Registration Fees: _____

Name of Conference/Symposium: _____

GRAND TOTAL EMPLOYEE REIMBURSEMENT	
AIRFARE & REGISTRATION REIMBURSEMENT	
TOTAL TRAVEL REIMBURSEMENT	

TOTAL OTHER EXPENSES	
TOTALS FROM ALL CONTINUATION PAGES	
GRAND TOTAL EMPLOYEE REIMBURSEMENT	

SP = See Purpose

Division of Accounts
eMARS TRAVEL REIMBURSEMENT

Appendix 17
Page 2 of 5

TC 31-21E
Rev. 1/2009
page 2 of 5

Agency: **C35**

Document Number: _____

Authorization: _____

Page _____	of _____	DATE _____	EMPLOYEE ID _____	TRAVELER NAME _____
OTHER EXPENSES (may include airfare, bus fare, subway, car rental, registration fees, etc.)				
DATE Mo. Day	ITEM OF EXPENSE (Attach receipt for each item)	EXPLANATION		AMOUNT
<small>For instructions read Finance and Administration regulation 200 KAR Chapter 2. The form must be typed or legibly prepared in ink. Show times as a.m. or p.m. Show vicinity travel on a separate line for each day. Under subsistence, B=breakfast, L=lunch, D=dinner. Use continuation pages if needed.</small>				<small>Enter total here and at bottom of form MARS-34.</small>
Total W-2 Reportable Meal(s)				
SPECIAL TRANSPORTATION JUSTIFICATION PER 200 KAR 2:006, SECTION 5 (6) (a)				

SUBSISTENCE CHART

(Subsistence includes meals, taxes and tips. Effective on and After July 1, 1999)

If travel includes overnight lodging and at least these hours	6:30 a.m. through 9:00 a.m.	11:00 a.m. through 2:00 p.m.	5:00 p.m. through 9:00 p.m.
For authorized travel in Kentucky and U.S. except "High-Rate" Areas listed by Secretary of Finance - you may claim_____	\$7	\$8	\$15
For authorized travel in "High-Rate" Areas listed by Secretary of Finance - you may claim _____	\$8	\$9	\$19

Subsistence cannot be claimed for meals included in registration fees.

KENTUCKY TRANSPORTATION CABINET
Division of Accounts
eMARS TRAVEL REIMBURSEMENT DETAIL

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Document Number: _____

Authorization: _____

Page _____ of _____		DATE _____		EMPLOYEE ID _____		TRAVELER NAME _____					
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MO	DAY	TIME OF		LOCATION	PRIVATE AUTO MILEAGE	TOLLS AND/OR PARKING	LODGING	SUBSISTENCE	TOTALS
		DEPARTURE	RETURN						
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
					TOTALS FOR THIS PAGE				

SP = See Purpose

KENTUCKY TRANSPORTATION CABINET
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Authorization: _____

Page 5 of 5	DATE	EMPLOYEE ID	TRAVELER NAME
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MO	DAY	TIME OF		LOCATION	PRIVATE AUTO MILEAGE	TOLLS AND/OR PARKING	LODGING	SUBSISTENCE	TOTALS
		DEPARTURE	RETURN						
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____ L _____ D _____	
					TOTALS FOR THIS PAGE				

SP = See Purpose

**eMARS TRAVEL REIMBURSEMENT**

Document #

Authorization #

Date: _____

Accounting Period _____

Used only during
June and July
Closing Period.

Budget FY _____

Traveler Name: _____ Employee I.D.: _____

Residence: _____

Work Location: _____

District/Division: _____

Agency: C35 Department: _____

Lodging Reimbursement _____

RATE

Per Diem Reimbursement _____

☐ High ☐ Low

W2 Reportable Meals _____

POV Mileage Reimbursement _____

Airfare Reimbursement _____

Registration Reimbursement _____

Other Reimbursement _____

Total Reimbursement Amount _____

Purpose of Trip:

--

I hereby certify, subject to the provisions of KRS 532.100 (unsworn falsification to authorities), that the above amounts represent proper charges by a statutory employee of the Commonwealth in the discharge of official business and that data furnished with the MARS Travel System are true and correct to the best of my knowledge.

Employee Signature _____

Date _____

Supervisor Signature _____

Date _____

Supervisor Name (print) _____

COVER PAGE

Non-Expendable Property Accountability Record

(Revised 11-15-2008)

Grant Name: Highway Safety

Grant Number: _____

Agency Name: _____

Date: _____

Serial #	Property #	Equipment Description	Location	Acquisition Cost	Date

Applicant agency agrees to immediately notify the Kentucky Office of Highway Safety Grants Management Branch if any of the above equipment ceases to be used in the highway safety program for which it is purchased. In such event, applicant agency is required to request disposition instructions.

Project Director's Name: (please print) _____

Project Director's Signature: _____